

12-19-01

12/07/01

PTO/SB/05 (03-01)

Please type a plus sign (+) inside this box → ☐

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10/02/1185
12/07/01**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 97-122

First Inventor

C. David Capps

Title

Optical Beam Steering Using Small
Angle Beam Steering Device

Express Mail Label No.

ET612200411US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 9]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 2]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [X] Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 [X] Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: Check for \$ 780

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

or

☒

Correspondence address below

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LAWRENCE N. GINSBERG

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30,943

Signature

L N Ginsberg

Date

12/7/01

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	
Filing Date	
First Named Inventor	C. David Capps
Examiner Name	
Group Art Unit	
Attorney Docket No	97-122

TOTAL AMOUNT OF PAYMENT (\$) 780

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number
- Deposit Account Name
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE						
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
						Fee Paid
		101	740	201	370	Utility filing fee
		106	330	206	165	Design filing fee
		107	510	207	255	Plant filing fee
		108	740	208	370	Reissue filing fee
		114	160	214	80	Provisional filing fee
SUBTOTAL (1)						(\$) 740

2. EXTRA CLAIM FEES						
Total Claims	Extra Claims	Fee from below	Fee Paid			
19	-20** = 0	18	0			
3	-3** = 0	84	0			
Multiple Dependent						

Large Entity		Small Entity				
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description		
103	18	203	9	Claims in excess of 20		
102	84	202	42	Independent claims in excess of 3		
104	280	204	140	Multiple dependent claim, if not paid		
109	84	209	42	** Reissue independent claims over original patent		
110	18	210	9	** Reissue claims in excess of 20 and over original patent		
SUBTOTAL (2)						(\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES						
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
						Fee Paid
105	130	205	65			Surcharge - late filing fee or oath
127	50	227	25			Surcharge - late provisional filing fee or cover sheet
139	130	139	130			Non-English specification
147	2,520	147	2,520			For filing a request for <i>ex parte</i> reexamination
112	920*	112	920*			Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*			Requesting publication of SIR after Examiner action
115	110	215	55			Extension for reply within first month
116	400	216	200			Extension for reply within second month
117	920	217	460			Extension for reply within third month
118	1,440	218	720			Extension for reply within fourth month
128	1,960	228	980			Extension for reply within fifth month
119	320	219	160			Notice of Appeal
120	320	220	160			Filing a brief in support of an appeal
121	280	221	140			Request for oral hearing
138	1,510	138	1,510			Petition to institute a public use proceeding
140	110	240	55			Petition to revive - unavoidable
141	1,280	241	640			Petition to revive - unintentional
142	1,280	242	640			Utility issue fee (or reissue)
143	460	243	230			Design issue fee
144	620	244	310			Plant issue fee
122	130	122	130			Petitions to the Commissioner
123	50	123	50			Processing fee under 37 CFR 1.17(q)
126	180	126	180			Submission of Information Disclosure Stmt
581	40	581	40			Recording each patent assignment per property (times number of properties)
146	740	246	370			Filing a submission after final rejection (37 CFR § 1.129(a))
149	740	249	370			For each additional invention to be examined (37 CFR § 1.129(b))
179	740	279	370			Request for Continued Examination (RCE)
169	900	169	900			Request for expedited examination of a design application
Other fee (specify)						
SUBTOTAL (3)						(\$) 40

SUBMITTED BY

Name (Print/Type)	Lawrence N. Ginsberg	Registration No. (Attorney/Agent)	30,943	Telephone	949-640-6261
Signature	<i>Lawrence N. Ginsberg</i>	Date	12/7/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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